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ABSTRACT

Findings are reported of a process evaluation of the Automated Performance Tracking and Productivity Improvement Project, a project developed to enhance the productivity and efficiency of child protective services (CPS) staff and to enable Region 10 of the Texas Department of Human Services to better meet federal and state performance guidelines. Described are the methods used to establish the automated system for measuring productivity and the techniques used to train managerial staff in solving problems that might be identified when the system is fully operational. Once developed, the system will serve as a mechanism to track individual and regional achievement of statewide performance standards and work load measures and to assist in identifying areas where corrective action is needed. Appendices contain: the newly developed set of uniform personnel tasks and standards; the case reading guides used to judge case compliance with federal regulations; a flowchart of the automated tracking system; and samples of the system's computer-generated reports. (RH)

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Annual Report: Innovations in Protective Services

P.L. 93-247 Grant Award #08C23/09

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Automated Performance Tracking and Productivity Improvement Project

September 30, 1985

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Office of Programs
Texas Department of Human Services

AUTOMATED PERFORMANCE TRACKING AND PRODUCTIVITY IMPROVEMENT PROJECT

Final Report

September 1, 1984, through August 31, 1985

This project was funded by the Office of Human Development Services, U.S. Department of Health and Human Services, in fulfillment of OHDS Grant No. 06C23-09, P.L. 93-247 State NCCAN Grant Funds.

The views expressed herein are those of the authors and do not necessarily reflect the official position of the Office of Human Development Services of the U.S. Department of Health and Human Services.

September 30, 1985

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GENERAL INTRODUCTION

Innovations in Protective Services is the collective name of seven projects funded by P.L. 93-247 state grant money and conducted by the Texas Department of Human Services (DHS). The seven demonstrations, designed to test ideas for improving services to children in need of protection, are listed below:

- Multidisciplinary Institute for Child Sexual Abuse Intervention and Treatment;
- Project Amistad (Friendship), a Joint Venture between DHS and Family Outreach;
- Family-Centered, Home-Based Intervention for Protective Services Clients;
- Child Protective Services Case Management;
- Child Abuse and Neglect Prevention;
- Advanced Job Skills Training; and
- Automated Performance Tracking and Productivity Improvement.

Overall objectives established for the seven projects are to develop innovative child abuse and neglect programs using volunteers and private agencies; to strengthen the quality of services for child abuse and neglect through competency-based and specialized training programs; and to develop models and program designs for planning and delivering child abuse and neglect services and for allocating resources.

Priorities from DHS's long-range plan for child protective services (CPS) provided the basis for selection of the projects to be demonstrated, and project results will be used in planning improvements in CPS service delivery systems.

The project reported on in this document, Automated Performance Tracking and Productivity Improvement, is being conducted in DHS Region 10.

Copies of this and other reports on the 93-247 projects can be obtained by writing to Project Support and Utilization Section; Office of Research, Demonstration, and Evaluation; Texas Department of Human Services; P.O. Box 2960 (MC 504-E); Austin, Texas 78769.

ACKNOWLEDGMENTS

The Texas Department of Human Services wishes to acknowledge the contributions of those who participated in the development of the Automated Performance Tracking and Productivity Improvement Project. Sandy Massey managed day-to-day operations. Grady Rhodes served as project manager. Consultants John Cox, programmer, and Jerry Lackey, Ph.D., statistical consultant, contributed their expert knowledge to the project. Margaret Maxwell, regional director for Services to Families and Children, supported the project manager; and the Regional Management Information System Committee assisted the project manager in implementing all the procedures necessary to make the project work. Special appreciation is accorded to the child protective services supervisors and specialists who enthusiastically accepted the project goal and implemented the necessary procedures to make it work.

At headquarters in Austin, David Brock served as program liaison with the Protective Services for Families and Children (PSFC) Branch. The Personnel Division and the Office of Field Management sent representatives to serve on the advisory committee. The regional director of Services for Families and Children from DHS's Region 6 also served on the committee.

From the Office of Research, Demonstration, and Evaluation (ORDE)--headed by Assistant Commissioner Suzette Ashworth, Ph.D.--efforts were contributed by several members of ORDE's Research and Demonstration Division, which is administered by Kent Gummerman, Ph.D. Lucretia Dennis-Small, project specialist, wrote the required federal reports, monitored project progress, and wrote the process evaluation. Nicholas Constant and Phyllis Jamar edited and produced the documents.

EXECUTIVE SUMMARY

The Automated Performance Tracking and Productivity Improvement Project was designed by staff members in Region 10 of the Texas Department of Human Services (DHS). The project was developed to enhance the productivity and efficiency of child protective services (CPS) staff and to enable the region to better meet federal and state performance guidelines.

This annual report, a process evaluation, describes the methods used to establish the automated system for measuring productivity and the techniques used to train managerial staff in solving problems that might be identified when the system is fully operational.

Once developed, the system will serve as a mechanism to track individual and regional achievement of statewide performance standards and work load measures and to assist in identification of areas where corrective action is needed.

For the reader's information, appendixes to the report contain copies of the newly developed set of uniform personnel tasks and standards (Appendix A); the case reading guides used to judge case compliance with federal regulations (Appendix B); a flowchart of the automated tracking system (Appendix C); and samples of the system's computer-generated reports (Appendix D).

BACKGROUND AND ORIGIN

The Protective Services for Families and Children (PSFC) Program at the Texas Department of Human Services (DHS) is constantly concerned with improving the administration of child protective services (CPS). Ways to improve productivity (enhancement of efficiency in combination with quality of services) are a prime concern of DHS administrators.

Over the past few years, the PSFC program developed statewide program standards and work load measures to assist each DHS administrative region in upgrading its productivity. With the emergence of these statewide measures, tracking individual and regional performance became more manageable. Despite the efforts to improve productivity and to develop work load standards, there is no consensus about the number and difficulty of cases a worker or unit can handle efficiently.

In order to achieve further gains in productivity, DHS's Region 10 proposed the Automated Performance Tracking and Productivity Improvement Project. With computer technology, the project proposed to develop a mechanism or mechanisms to track individual and regional achievement of uniform performance measures. The automated system would compare individual performance with a set of uniform personnel tasks and standards and would identify areas where corrective action is needed.

Project planners anticipated that electronic tracking of individual and regional performance would give PSFC regional directors accurate and current data about staff productivity patterns. These data were expected to enable early implementation of corrective action measures and to give individuals and units concrete expectations about job performance.

This final report describes how the Automated Performance Tracking and Productivity Improvement Project was planned, designed, and implemented in Region 10.

PROJECT OPERATIONS

OBJECTIVES

Region 10 staff believed they must first collect and accurately measure data on productivity and efficiency patterns. To accomplish the tasks of data collection and measurement, five objectives were established for the project:

1. to interface program standards and work load standards with the uniform personnel tasks and standards (Form 4040);

2. to develop electronic tracking mechanisms for as many performance items as possible;

3. to develop and program computer-generated output reports on the quantity of performance at regional, unit, and worker levels;

4. to develop a model of adequate performance based on work load standards and case load mix; and

5. to research and provide a training module that will teach managers how best to use the newly developed performance evaluation process.

START-UP

To enhance the acceptance of the project, the project manager and regional director solicited knowledgeable persons to serve on the project's executive advisory committee. The advisory committee consisted of representatives from DHS headquarters divisions--PSFC; Personnel Division; and the Office of Field Management, which has authority over regional staff--as well as the regional directors of Services for Families and Children from regions 6 and 10.

The project manager regularly met or talked with the advisory committee members, all levels of CPS staff, contract management staff, and contractors to introduce the concepts of productivity improvement and performance tracking through automation. The same groups were used to discuss concepts, programming problems, implementation strategies, and overall project progress.

In the beginning, regional administrators expected reluctance of the worker and supervisory staff to be held accountable for their casework actions and decisions. However, both caseworkers and supervisors cooperated fully and were enthusiastic about the potential benefits of the project. Supervisors were receptive to the idea of receiving management training to show them how to effectively use the newly developed performance evaluation process.

All the supervisors participated in the initially scheduled management training and later requested follow-up training sessions.

NEW PERFORMANCE STANDARDS

Developments in the State Office

In 1983, the PSFC Branch in DHS's state office completed two sets of standards:

1. program standards and

2. work load standards.

These two sets formed the basis for developing a third set, the new performance standards, known as--

3. the uniform personnel tasks and standards.

The new performance standards (Set 3) had to reflect all the state and federal requirements contained in Set 1 and Set 2.

PSFC decided to expand the original scope of project Objective 4, which called for developing a model of adequate performance. PSFC requested that the project also include a pilot test of a new formula for determining the ideal number and mixture of cases that a CPS specialist can maintain effectively. The formula, which takes into account the type of case--substitute care, investigation, in-home services--and the average amount of time needed to complete the appropriate unit of service, produces an estimate of the ideal case load for each CPS specialist.

Regional Implementation

Program directors (PDs) in the CPS program drafted a set of uniform personnel tasks and standards (Form 4040) to be used for all Region 10 CPS specialists (Appendix A). The draft incorporated statewide program and minimum child placement standards.

The PDs presented the initial draft of the uniform personnel tasks and standards to Region 10 CPS supervisors for their review and comment. The supervisors determined which items on the proposed performance plan would affect program and federal standards then being used to judge the region's level of compliance. Some performance indicators were added by the supervisors, others were deleted. CPS supervisors insisted that indicators of quality be added to the performance evaluation.

The current version of the uniform personnel tasks and standards was submitted to these groups for approval--Region 10 Management Information Analysis Systems Committee, CPS supervisors, program directors, the regional director, and the executive advisory committee.

In the region, formal meetings and informal gatherings were used to make decisions about the project's direction. Also, telephone calls were used to get consensus on project activities. The executive advisory committee met quarterly to review project activities and give guidance to the project director.

ELECTRONIC TRACKING MECHANISMS

Early on, staff and advisory groups decided to keep the project as simple as possible. They decided to limit the number of items the project would track; to use those data elements for which there were existing mechanisms; and to include the data elements that headquarters uses on statewide service control and case reading guides (Appendix B). The format of the guides was modified to make it compatible with data entry procedures. All modifications were cleared with headquarters to ensure that no performance standards were altered.

Quantifiable items are tracked and used to collect two sets of data--compliance percentages for the region and for the CPS specialist. (A chart of the overall system flow appears in Appendix C.)

COMPUTER-GENERATED REPORTS

The computer-generated output reports (an example of which appears in Appendix D) serve the following purposes:

- to show which CPS specialists are or are not meeting performance standards;
- to provide adequate documentation for work load planning by supervisors, program directors (PDs) and regional directors (RDs);
- to assist in the identification of training needs of CPS specialists; and
- to accumulate documentation for determining individual and regional program performance.

The computer-generated output reports will be reviewed by all CPS staff--specialists, supervisors, PDs and RDs.

DEVELOPMENT OF PERFORMANCE MODEL

As mentioned earlier, PSFC expanded the original scope of project Objective 4, which called for developing a model of adequate performance. PSFC requested that the project also pilot test a new formula for determining ideal case load and mixture. This formula required considerable refinement; as a result, the model could not be completed during the first project year. Completion is expected in the first quarter of the second project year.

COMPETENCY-BASED TRAINING MODULE

A training module entitled "Supervisory Effectiveness Training" was purchased from a Texas firm skilled in human resources and organizational development. Some of the topics included in the training were Supervisor Effectiveness; What Does a Supervisor Do?; Supervision Skills; Communication: The Key to Effectiveness; Supervisory "Styles"; Team-Based Problem Solving; and Increasing Productivity.

The major elements of the training stressed self-awareness by supervisors and effective problem solving. Each topic in the model discussed methods supervisors would use to enhance their individual effectiveness as leaders.

The competency-based training focused on both the individual supervisor and Region 10 as a supervisory group. The management style of each participant was assessed by subordinates, peers, and each manager's supervisor. Each participant also performed a self-assessment. The responses to the four questionnaires were entered into a computer and plotted to show a pattern of behavioral skills on a 10-point scale. The behavioral scales were interpreted to the managers in work sessions where each participant was given feedback on his or her managerial strengths and weaknesses. Recommendations for improving management styles were provided, and ways to affect behavioral changes were suggested.

The average score of all participants was determined. Time was spent with the entire group to give actual techniques for improving management skills.

When the participants returned to their regular duties, they divided into groups and held weekly meetings to address their personal management goals and ways to strengthen administrative and managerial

skills. So far, the participants report that morale in Region 10 has improved and that changes have been observed in their interaction with each other and with subordinates. Region 10 will schedule a follow-up assessment for those who attended the original training.

CONCLUSIONS

The Automated Performance Tracking and Productivity Improvement Project was funded to develop an automated system for tracking the performance of CPS specialists and the Region 10 CPS program. The project is currently collecting data on the quantity of casework being done by CPS specialists in the region.

Work load and program standards can form the basis of uniform personnel tasks and standards. The personnel standards will be developed early in the second project year following data collection and analysis. The formula for case load and mixture will be automated during the first quarter of the second project year. Headquarters in Austin is helping project staff to develop standards that will meet federal and state compliance levels. The uniform performance plan has been developed. In January 1985, Region 10 began evaluating CPS specialists by the performance standards developed by project participants.

APPENDIX A

Uniform Personnel Tasks and Standards for Region 10 CPS Specialists (Form 4040)

Texas Department of Human Resources

PERFORMANCE AND DEVELOPMENT PLAN AND EVALUATION

Form 4040 June 1982

Employee Name	Soc. Sec. No.	BJN	Mail Code

Merit System Title	Functional Title (if different)	Hire Date
Protective Services Specialist II		

Date Assigned Rater	Date Assigned Position	Date of Perf. Plan	Date Evaluation Due	Period Covered by Eval
				From to

REASON FOR EVALUATION: ☐ Initial Probation ☐ Annual ☐ Transfer ☐ Conference(optional)

☐ Other(specify):

Brief Job Description:

Provides protective services for children in County. This includes investigation of referrals of possible abuse/neglect, ongoing services to families of abused/neglected children and services to children in DHR's conservatorship.

RELATIVE IMPORTANCE	PERFORMANCE PLAN—List Task Statements, Followed by Performance Standard(s)	ACTUAL ACHIEVEMENTS	Exceeds Requirements	Meets Requirements	Does Not Meet Requirements
1	A. Assesses current life situations of child(ren) and family to determine the presence of child abuse and/or neglect. 1. Investigations and assessments are conducted according to regional and state policy, standards, and guidelines that result in: a. Accurate assessments which protect children while maintaining intact families, as appropriate. 1. Responds to referral with appropriate time frame based on priority. 1-3 exceptions allowed per quarter. 2. Form 2202-A completed on all referrals and submitted to data processing within 30 days of intake. 2-4 exceptions allowed per quarter. 3. Form 2230 submitted to appropriate law enforcement agency as required. 2-4 exceptions allowed per quarter. b. Assessment which result in sufficient information when court action is needed. 1. Provides narrative, reports, etc., as ordered by court or requested by District Attorney on or before stated due date. 1 exception allowed per quarter.				

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RELATIVE IMPORTANCE	PERFORMANCE PLAN—List Task Statements, Followed by Performance Standard(s)	ACTUAL ACHIEVEMENTS	Exceeds Requirements	Meets Requirements	Does Not Meet Requirements
	2. Testimony presented in a professional manner as judged by supervisor and/or District Attorney. 1 exception allowed per quarter. 2. Situations of child(ren) are accurately evaluated for degree of life-threatening or safety endangering conditions, initially and on an ongoing basis. 1-2 exceptions allowed per year. 3. Investigations and/or visits are conducted at time and in locations appropriate for the individual case situation.				
1	B. Uses interviewing techniques to obtain information needed for serving client needs. 1. Methods of obtaining information are within policy and guidelines and are adapted to the individual situation. 2. Sufficient information is obtained to make timely decisions and case plans. Obtains relevant social history information with 2-4 exceptions allowed per quarter. 3. Efforts are made to obtain information from collateral contacts. 1-3 exceptions allowed per quarter. 4. Sufficient information is obtained to facilitate court proceedings. 1-2 exceptions allowed per quarter.				
1	C. Places and provides services to children in substitute care. 1. Child placement activities are carried out according to policy requirements and standards. a. Case movement form completed with 24 hours of initial or subsequent placement with 1-3 exceptions per quarter. b. All forms (2200, 213 series, etc.) and intake study completed within 30 days of placement. 1-3 case exceptions allowed per quarter.				

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RELATIVE IMPORTANCE	PERFORMANCE PLAN—List Task Statements, Followed by Performance Standard(s)	ACTUAL ACHIEVEMENTS	Exceeds Requirements	Meets Requirements	Does Not Meet Requirements
	c. Intake studies are of acceptable quality based on supervisor's professional judgement. 2. Child placement activity is based on sound child placement theory and practice and incorporates permanency planning principals. 3. Plans are made in conjunction with appropriate others, and services achieved on a timely basis. Initial and subsequent placements made with prior approval of program director and supervisor. 1-2 exceptions allowed per quarter.				
2	D. Develops and/or implements case plans to meet the specific needs of the individual family members. 1. Information required by policy, standards, and guidelines is obtained, recorded and updated and reflects an individualized assessment of the clients' problems and needs of the situation which fit agency objectives. a. Plans completed within 45 days of case assignment. 2-4 exceptions allowed per quarter. b. Plans updated at least every six months with 2-4 exceptions allowed per quarter. c. Problems/needs accurately assessed. 2-4 exceptions allowed per quarter. 2. Contacts are made according to policy and program requirements and the focus remains on achieving service goals. a. Initial contact made with family within 10 working days of case assignment. 2-4 exceptions allowed per quarter. b. Contact made monthly or as outlined in service plan. 1-3 exceptions allowed per quarter. c. Contacts are goal-oriented. 1-3 exceptions allowed per quarter. 3. Available community and contracted resources are used according to the				

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RELATIVE IMPORTANCE	PERFORMANCE PLAN—List Task Statements, Followed by Performance Standard(s)	ACTUAL ACHIEVEMENTS	Exceeds Requirements	Meets Requirements	Does Not Meet Requirements
	needs of the individual case situation and policy. 1-3 exceptions allowed per quarter. 4. When applicable, placement decisions and actions consider individual circumstances and available resources based on supervisor's professional judgement.				
2	E. Maintains sufficient case documentation, including forms and narratives, to provide a complete and accurate written record. 1. Required forms, as outlined in state and regional policy are completed on a timely basis, appropriately submitted, updated as needed and are present in the case folder. a. SSMS completed on every family member with 45 days of case assignment. 3-4 exceptions allowed per quarter. b. Forms for contract referral (2054, Client Assessment) and MIS system (Worker Assessment) are completed in a timely manner with a minimum of error and are updated as needed. 2. Narratives are completed, accurate and current according to appropriate policy requirements. a. Narrative completed within 45-60 CONTINUED ON ATTACHED SHEET—3-A				

Employee Review and Comments: _____

_____

_____

_____

I acknowledge that a copy of this performance plan has been shared with and provided to me on this date. I also acknowledge I have been furnished a copy of the department's work rules(Section 4700 of the Personnel Handbook).

_____ _____
Signature—Supervisor Date

_____ _____ _____ _____
Signature—Employee(or Witness) Date Signature—Reviewer Date

NOTE: Amendments to this plan must be made on this document or on additional sheets which are initialed and dated by the employee and the supervisor.

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RELATIVE IMPORTANCE	PERFORMANCE PLAN—List Task Statements, Followed by Performance Standard(s)	ACTUAL ACHIEVEMENTS	Exceeds Requirements	Meets Requirements	Does Not Meet Requirements
	days of contact. 3-4 exceptions allowed per quarter. b. Reflects an accurate representation of family situation and services being provided.				
2	F. Builds and maintains communication and working relationships with clients, community, and co-workers resulting in agency objectives being accomplished. 1. Effective relationships are being built and maintained with client reflecting objectivity concerning differences in cultures and values. . 2. Effective relationships built and maintained with community resources. 3. Relationships with DHR personnel are conducive to providing service and accomplishing agency objectives.				
3	G. Uses supervision to obtain and facilitate service to clients. 1. Seeks supervisor's assistance or approval when appropriate or as required by policy. 2. Supervisor is informed of current case situations in a timely manner.				
3	H. Completes special tasks, projects, or assignments upon request of supervisor. 1. Assignments are completed within time frames negotiated by worker and supervisor. 1-2 exceptions allowed per quarter. 2. Quality of completed assignments is acceptable according to the supervisor's expectations.				
3	I. Functions as supervisor in supervisor's absence for Nacogdoches County personnel. 1. Performs duties as assigned by supervisor. 2. Performance on tasks reflect responsible behavior and use of reasonable judgment.				

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SUPERVISOR'S QUALITATIVE RATING SCALE

RATING	DESCRIPTORS
1. Unacceptable	(1) Work is of poor quality (2) Work is of inadequate quality to meet basic performance standards (3) Work assignment must be redone or requires the assistance of the supervisor and/or other personnel in order to make it acceptable. (4) Continued work of this quality indicates dismissal of the employee. (5) Written justification of this rating is required.
2. Less than adequate	(1) Work is marginal in terms of performance standards. (2) Some rework required on the part of the worker in order to meet basic standards. (3) Excessive supervision needed in order to complete the task. (4) Failure to meet time requirements or deadlines. (5) Omission or partial omission of material or actions needed to meet compliance standards. (6) Remedial action required.
3. Good	(1) Work is adequate; meets expected performance standards. (2) Normal or expected amount of supervision needed in order to complete the task. (3) Work is complete; task finished in a timely manner; no omissions or partial omission requiring unusual rework or revision. (4) Continued work of this quality will meet performance expectations and compliance standards. (5) Quality of this work represents what is expected of a worker in this position.

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RATING	DESCRIPTORS
4. Very good	(1) Quality of work is more than adequate and exceeds expected performance standards. (2) Less than normal or expected amount of supervision is needed to complete the task. (3) Worker turns out above average amount of work. (4) Worker's speed and accuracy exceed basic performance standards. (5) Continued work of this quality indicates special recognition for the contributions of this employee.
5. Exceptional	(1) Quality of work is unusually high; to the degree that it can be considered outstanding, extraordinary, or rare. (2) Work goes well beyond basic performance standards. Worker needs much less than normal or expected supervision. Work accomplished quickly and efficiently with virtually no errors. (3) The worker takes initiative, develops new procedures or techniques which may increase productivity of the entire unit or organization. Other workers seek this person out for advice and instruction. (4) Worker shows exceptionally high degree of interest, willingness, and dedication. Extra effort is typical. (5) Continued work of this quality indicates this person should be aggressively recruited for promotion to a more responsible position. They show potential for significant long range contributions to the organization. (6) Written justification for this rating required.

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APPENDIX B

Case Reading Guides

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Intake Reading Guide (1) Worker: JOAN SHEEHAN

[redacted], MILDRED Supervisor: MICHAEL SPELL

Date of Referral: 07-09-85

Please check if all standards were answered Y or NA. []

I.A. Priority I Reports

1. Did the worker, within 24 hours of the referral, attempt to inform the supervisor of the report and obtain the supervisor's approval of the action to be taken/that had been taken? Yes[] No[]

2. Did the worker level or above staff begin protective services for the child within 24 hours of the referral? Yes[] No[]

3. For Priority I reports other than those made by law enforcement: Did the worker orally notify law enforcement within 24 hours of the report and send a written report within 5 calendar days? Yes[] No[] N/A[]

II. The Investigation

Did the worker determine:

A. The nature, extent, and cause of the abuse/neglect? Yes[] No[]

B. The identity of the person apparently responsible? Yes[] No[]

C. The names, ages, and conditions of the other children in the home? Yes[] No[] N/A[]

D. The caretaker's ability to protect the child? Yes[] No[]

E. The adequacy of the home environment? Yes[] No[]

F. The relationship of the child to the caretakers? Yes[] No[]

G. If any action by DHR is needed to protect the child? Yes[] No[]

III. Did the supervisor approve the worker's actions and findings at the completion of the intake process? Yes[] No[]

IV. Results explained to:

A The parents/caretakers Yes[] No[]

B. Children who were interviewed Yes[] No[] N/A[]

C. The identified complainant Yes[] No[]

[_] Rate the overall quality of the casework on this case using the quality rating scale. A rating of 1 or 5 requires written justification below:

Supervisor's Signature _____ Date Reviewed _____

Please submit to MIS within 3 days of review

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Intake Reading Guide (2B)
— DENISE
Date of Referral 07-09-85

Worker KATHY LONDON
Supervisor MICHAEL SPELL

Please check if all standards were answered Y or NA [ ]

I B. Priority II Reports

1 Did protective services to the child begin within 10 calendar days of the report? Yes[ ] No[ ]

4 For non-sex abuse Priority II reports, the Department notified law enforcement either orally or in writing within 3 calendar days of the report? Yes[ ] No[ ]

II The Investigation

Did the worker determine

A. The nature, extent, and cause of the abuse/neglect? Yes[ ] No[ ]

B. The identity of the person apparently responsible? Yes[ ] No[ ]

C The names, ages, and conditions of the other children in the home? Yes[ ] No[ ] N/A[ ]

D. The caretaker's ability to protect the child? Yes[ ] No[ ]

E. The adequacy of the home environment? Yes[ ] No[ ]

F. The relationship of the child to the caretakers? Yes[ ] No[ ]

G If any action by DHR is needed to protect the child? Yes[ ] No[ ]

III. Did the supervisor approve the worker's actions and findings at the completion of the intake process? Yes[ ] No[ ]

IV Results explained to

A. The parents/caretakers Yes[ ] No[ ]

B. Children who were interviewed Yes[ ] No[ ] N/A[ ]

C. The identified complainant Yes[ ] No[ ]

Rate the overall quality of the casework on this case using the quality rating scale. A rating of 1 or 5 requires written justification below

Supervisor s Signature _____ Date Reviewed _____

Please submit to MIS within 3 days of review.

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Intake Reading Guide (2A) — Worker: SUSAN HUGHES
RICHARD .301 — Supervisor: WILLIAM KEITH,JR.
Date of Referral: 05-29-85

Please check if all standards were answered Y or NA. [ ]

I.B. Priority II Reports

1. Did protective services to the child begin within 10 calendar days of the report? Yes[ ] No[ ]

3. For sex abuse cases, the Department notified law enforcement orally within 24 hours of the report, and sent a written report within 5 calendar days? Yes[ ] No[ ]

II. The Investigation

Did the worker determine:

A. The nature, extent, and cause of the abuse/neglect? Yes[ ] No[ ]

B. The identity of the person apparently responsible? Yes[ ] No[ ]

C. The names, ages, and conditions of the other children in the home? Yes[ ] No[ ] N/A[ ]

D. The caretaker's ability to protect the child? Yes[ ] No[ ]

E. The adequacy of the home environment? Yes[ ] No[ ]

F. The relationship of the child to the caretakers? Yes[ ] No[ ]

G. If any action by DHR is needed to protect the child? Yes[ ] No[ ]

III. Did the supervisor approve the worker's actions and findings at the completion of the intake process? Yes[ ] No[ ]

IV. Results explained to:

A. The parents/caretakers Yes[ ] No[ ]

B. Children who were interviewed Yes[ ] No[ ] N/A[ ]

C. The identified complainant Yes[ ] No[ ]

[_] Rate the overall quality of the casework on this case using the quality rating scale. A rating of 1 or 5 requires written justification below:

_____ _____
Supervisor's Signature Date Reviewed

Please submit to MIS within 3 days of review.

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Ongoing and CVS Non-Subcare Reading Guide (001) Worker: TERRI WARING
, DONALD Supervisor: BETTE SMITH

Date the decision was made to provide on-going services was 08-07-85

7A. Date original Family Service Plan completed _____

1. Was the original service plan completed within 45 days of the above date? Yes[] No[]

2. Is there a parent's signature indicating that the service plan was jointly developed or an explanation that the parents refused to cooperate? Yes[] No[]

3. Is there an indicator that a copy of the service plan was given/sent to the parent/caretaker? Yes[] No[]

4. Does the service plan identify the family's problems and the effects on family and child? Yes[] No[]

5. Does the service plan identify solutions to the problems and objectives for the family? Yes[] No[]

B. If a review of the service plan was due during the case-reading period, answer the following (if not go to standard 8). Date review was due of the Original Plan 3 -86
Date Reviewed: _____

1. Was it reviewed with the Family every 6 months? Yes[] No[]

2. Was each review approved and signed by supervisor? Yes[] No[]

8. Monthly Contacts

Did the worker have face-to-face contact with the family and child once a month unless otherwise specified in the service plan? Yes[] No[]

[] Rate the overall quality of the casework on this case using the quality rating scale. A rating of 1 or 5 requires written justification below:

_____ _____ Please submit to MIS
Supervisor's Signature Date Reviewed within 3 days of review.
Evaluation year is 07/15/85-07/15/86

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CVS Subcare Reading Guide for Cases Opened Less Than 7 Months
, ALVIN
Placement Date: 7-08-85
Type: DHR FOSTER HOME

Worker: KAY JONES
Supervisor: WINIFRED WASHBURN

NOTE: ITEMS 10-14 ARE RESPONSIBILITY OF UNIT WHICH REMOVES CHILD

10. Was prior or concurrent approval obtained from a supervisor or above before the child was removed? Yes[] No[]

11. Was a permanent plan for the child established before 1/08/86? Date of permanency plan_____. Yes[] No[] NA[]

CASE PLAN

12. Is there a written family case plan? Date of plan_____. Yes[] No[] NA[]

12a. completed within 30 days of placement (check NA if case was opened prior to 10/81) Yes[] No[]

12b. identifies the family's problems which caused removal of child Yes[] No[]

12c. a description of efforts made to obtain services before removal of child and any services provided to prevent substitute care placement Yes[] No[]

12d. identifies changes that must take place before DHR recommends conservatorship Yes[] No[]

12e. identifies services to accomplish the change Yes[] No[]

12f. identifies the role of the worker, other service providers and parents in achieving changes Yes[] No[]

12g. a proposed time limit for achieving the change Yes[] No[]

12h. a plan for the parents to visit, telephone, or write to the child Yes[] No[]

12i. family's plan for financial support Yes[] No[]

12j. special conditions or stipulations of the court order Yes[] No[]

12k. consequences if the change is not achieved

12l. signed by parents Yes[] No[]

14. Was the child's case plan designed to achieve placement:

a. in the least restrictive setting Yes[] No[]

b. in close proximity to the parent's home Yes[] No[]

19. Were changes affecting eligibility reported within 5 days of the change? yes[] No[] NA[]

[] Rate the overall quality of the casework on this case using the quality rating scale. A rating of 1 or 5 requires written justification below:

_____ Supervisor's Signature

_____ Date Reviewed

Please submit to MIS within 3 days after ACR is typed.

Evaluation year is 09/01/84-08/31/85

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CVS Minimum Standards Reading Guide
[redacted], JOE 502[redacted] (001)
Placement Date: 8-15-85
Type: DHR FOSTER HOME

Worker: JAMES CASHMAN
Supervisor: WINIFRED WASHBURN
Page: 1

4100.1	b.	Date of birth	Yes []	No []	
	c.	Place of birth	Yes []	No []	
	d.	Sex	Yes []	No []	
	e.	Religion (if unknown, mark yes)	Yes []	No []	
	f.	Names and addresses of parents and siblings	Yes []	No []	
	g.	Names and addresses of other significant persons	Yes []	No []	
	h.	Date of intake	Yes []	No []	
	i.	Documentation of identity or request (birth certificate)	Yes []	No []	
	j.	Court order regarding conservatorship	Yes []	No []	
	k.	Date of discharge	Yes []	No []	N/A []
4100.1		Foster care intake study (date)	Yes []	No []	
4200.3	a.	If emergency placement, intake study completed and reviewed by appropriate person within 30 days of placement	Yes []	No []	N/A []
	a.1	Conditions making emergency placement necessary	Yes []	No []	N/A []
	a.2	Intake study initiated within 5 days if necessary	Yes []	No []	N/A []
	a.3	Information about child shared with foster parents or staff of facility when study is complete (initial emergency)	Yes []	No []	N/A []
4100.3	a.	Family circumstances making placement necessary	Yes []	No []	
	b.	Child's developmental medical history	Yes []	No []	
	c.	Parents or M.C.'s expectations regarding placement	Yes []	No []	
	d.	Child's understanding of placement	Yes []	No []	N/A []
	e.	Child's personality, behavior and interests	Yes []	No []	

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	f.	Child's school history	Yes []	No []	N/A []
	g.	Previous placements	Yes []	No []	N/A []
	h.	Child's legal status	Yes []	No []	
	i.	Child's needs	Yes []	No []	
	j.1	Immediate goals	Yes []	No []	
	j.2	Long range goals	Yes []	No []	
	k.	Name of family member or M.C. responsible for the relationship with agency and child	Yes []	No []	
4100.2		Intake study signed or initialled and dated by qualified person (ref. 2200.4)	Yes []	No []	
4100.4	a.	Intake discussion with child	Yes []	No []	N/A []
	b.	Intake discussion with parents or M.C.	Yes []	No []	

Remarks:

4100.5	Medical exam within 30 days prior to or 30 days after admission (or exempt due to transfer)	Yes []	No []	
4100.6	Dental exam within one year prior to or arrangement for exam made within 120 days after admission	Yes []	No []	N/A []
4700.6	Report of T.B. test	Yes []	No []	

Remarks:

4100.8 PLACEMENT AGREEMENT if applicable — Yes [] No [] N/A []

a. Authorization to care for child — Yes [] No [] N/A []

b. Medical consent form — Yes [] No [] N/A []

Remarks:

4200.1 a. Information regarding child shared with foster parents or child placing staff (prior placement if nonemergency) — Yes [] No [] N/A []

b. Preplacement visit prior to intake except emergency or child under 6 months (nonemergency) — Yes [] No [] N/A []

c. Intake Study - foster home study reviewed by MSW prior to placement (signed/initialed/dated; non-emergency) — Yes [] No [] N/A []

Remarks:

4200.2 AGREEMENT WITH OTHER CPA TO USE THEIR HOME, if applicable (does not have to be in child's record) — Yes [] No [] N/A []

Remarks:

4300.1 PLAN OF SERVICE within 30 days — Yes [] No []

a. Child's needs and how will be met — Yes [] No []

b. Objectives of placement — Yes [] No []

c. Estimated length of stay — Yes [] No []

Remarks:

4300.2 SIX MONTH REVIEW conference with agency, foster parents, child, and child's parents or M.C. Yes [] No []

a. Notification of child's parents, or M.C. or 6 month conference Yes [] No []

b. Progress toward achieving or changes in objectives Yes [] No []

c. Person, included in review list Yes [] No []

Remarks:

4300.4 Quarterly contact with child Yes [] No []

4300.5 Specialized consultation and treatment obtained and documented Yes [] No [] N/A []

Remarks:

4400.1 (ref. 2200.4)

a.1 NONEMERGENCY SUBSEQUENT MOVE - approved by appropriate person prior to placement Yes [] No [] N/A []

a.2 Preplacement visit prior to subsequent placement - child over 6 months Yes [] No [] N/A []

a.3 Move discussed with child Yes [] No [] N/A []

a.4 Child's understanding and response to move Yes [] No [] N/A []

4400.1 b. Plan of service notes changes because of the move Yes [] No [] N/A []

c. Child's needs and medical information, etc. discussed with foster parents prior to placement Yes [] No [] N/A []

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4400. EMERGENCY SUBSEQUENT MOVE

a.1 Discussion between staff and child — Yes [] No [] N/A []

a.2 Child's understanding and response — Yes [] No [] N/A []

b. Plan of service notes changes because of move — Yes [] No [] N/A []

c. Child's needs and medical information, etc. discussed with foster parents at time of placement — Yes [] No [] N/A []

d. Approved by appropriate supervisor within 10 days (ref. 2200.4) — Yes [] No [] N/A []

Remarks:

4600.1 Limits or restrictions on communications — Yes [] No [] N/A []

c. Monthly evaluation of restriction — Yes [] No [] N/A []

d. Practical reasons for limitations — Yes [] No [] N/A []

Remarks:

4600.6 Consent for use of pictures and reports from child and parent or M.C. — Yes [] No [] N/A []

4600.7 c. Record of phyical punishment and restrictions longer than 24 hours — Yes [] No []

d. Use of physical holding, length of time documented — Yes [] No [] N/A []

Remarks:

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4700.2		Annual medical exam	Yes []	No []	
4700.3		Annual dental exam (3 years or older)	Yes []	No []	N/A []
4700.5		Immunization records	Yes []	No []	
4700.7	a.	Record of each visit to physician and dentist and recommended treatment	Yes []	No []	
	b.	Record of medications and treatment (include dosage)	Yes []	No []	
4900.8		Medical consent form (may be in foster home record)	Yes []	No []	

Remarks:

4800.1		Discharge conference held	Yes []	No []	N/A []
4800.2		Circumstances around emergency discharge, if applicable	Yes []	No []	N/A []
4800.3		Written authorization of parents or M.C., if applicable	Yes []	No []	N/A []
4800.4	a.	Circumstances around discharge	Yes []	No []	N/A []
	b.	Date, name, address, relationship of person to whom child was discharged	Yes []	No []	N/A []

Remarks:

1400.1		Serious incident reported to parent or M.C.	Yes []	No []	N/A []

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1400.2 Description of serious incident Yes [] No [] N/A []

a. Date of incident Yes [] No [] N/A []

b. Time Yes [] No [] N/A []

c. Staff/children involved Yes [] No [] N/A []

d. Surrounding circumstances Yes [] No [] N/A []

Remarks:

1400.4 Runaway report to parent or M.C. Yes [] No [] N/A []

Remarks:

3200.2 Reasons for parents decision to place child Yes [] No [] N/A []

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CVS Subcare Reading Guide for Cases Opened 7 Months or More
[redacted], JOE 5029[redacted] (001)
Placement Date: 8-15-84
Type: DHR FOSTER HOME

Worker: JAMES CASHMAN
Supervisor: WINIFRED WASHBURN

NOTE: ITEMS 10-14 ARE RESPONSIBILITY OF UNIT WHICH REMOVES CHILD

10. Was prior or concurrent approval obtained from a supervisor or above before the child was removed? Yes[] No[]

11. Was a permanent plan for the child established before 02/15/85? Date of permanency plan_____. Yes[] No[] NA[]

CASE PLAN

12. Is there a written family case plan? Date of plan_____. Yes[] No[] NA[]

12a. completed within 30 days of placement (check NA if case was opened prior to 10/81) Yes[] No[]

12b. identifies the family's problems which caused removal of child Yes[] No[]

12c. a description of efforts made to obtain services before removal of child and any services provided to prevent substitute care placement Yes[] No[]

12d. identifies changes that must take place before DHR recommends conservatorship Yes[] No[]

12e. identifies services to accomplish the change Yes[] No[]

12f. identifies the role of the worker, other service providers and parents in achieving changes Yes[] No[]

12g. a proposed time limit for achieving the change Yes[] No[]

12h. a plan for the parents to visit, telephone, or write to the child Yes[] No[]

12i. family's plan for financial support Yes[] No[]

12j. special conditions or stipulations of the court order Yes[] No[]

12k. consequences if the change is not achieved

12l. signed by parents Yes[] No[]

13. Was the family service plan reviewed every 6 months? Parents must be involved in the review unless parents rights terminated. Yes[] No[]

14. Was the child's case plan designed to achieve placement:

a. in the least restrictive setting Yes[] No[]

b. in close proximity to the parent's home Yes[] No[]

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15. Periodic Reviews

C. Was a periodic review held before 03/16/85? Yes[] No[] NA[]
When?_____

D. Was the next periodic review held within 6 months plus 30 days of the previous periodic review (before 00/00/00)? Yes[] No[] NA[]
When?_____

E. Was periodic review a court review? Yes[] No[] NA[]

16. Was an administrative review held? Yes[] No[] NA[]
When?_____
If yes, read for following items:

16a. description of child's placement and its appropriateness Yes[] No[]

16b. continued need for the child's placement. Yes[] No[]

16c. extent of compliance with service plan. Yes[] No[]

16d. progress towards correcting the problems causing removal. Yes[] No[]

16e. DHR plan for compliance with court orders. Yes[] No[]

16f. projected date that permanency plans will be accomplished. Yes[] No[]

17. Were parents notified that an administrative review is to be held? Yes[] No[]

18. Dispositional Hearings
Is the child in an adoptive placement, a court specified permanent foster home, or a relative placement? Yes[] No[]
If yes, go to #19

F. Was a dispositional hearing held before 04/16/86? Yes[] No[] NA[]
When?_____

G. Was the next dispositional hearing held 6 months plus 30 days from last hearing date (before 00/00/00)? Yes[] No[] NA[]
When?_____

19. Were changes affecting eligibility reported within 5 days of the change? Yes[] No[] NA[]

[] Rate the overall quality of the casework on this case using the quality rating scale. A rating of 1 or 5 requires written justification below:

_____ _____
Supervisor's Signature Date Reviewed

Please submit to MIS within 3 days after ACR is typed.
Evaluation year is 07/01/85-06/30/86

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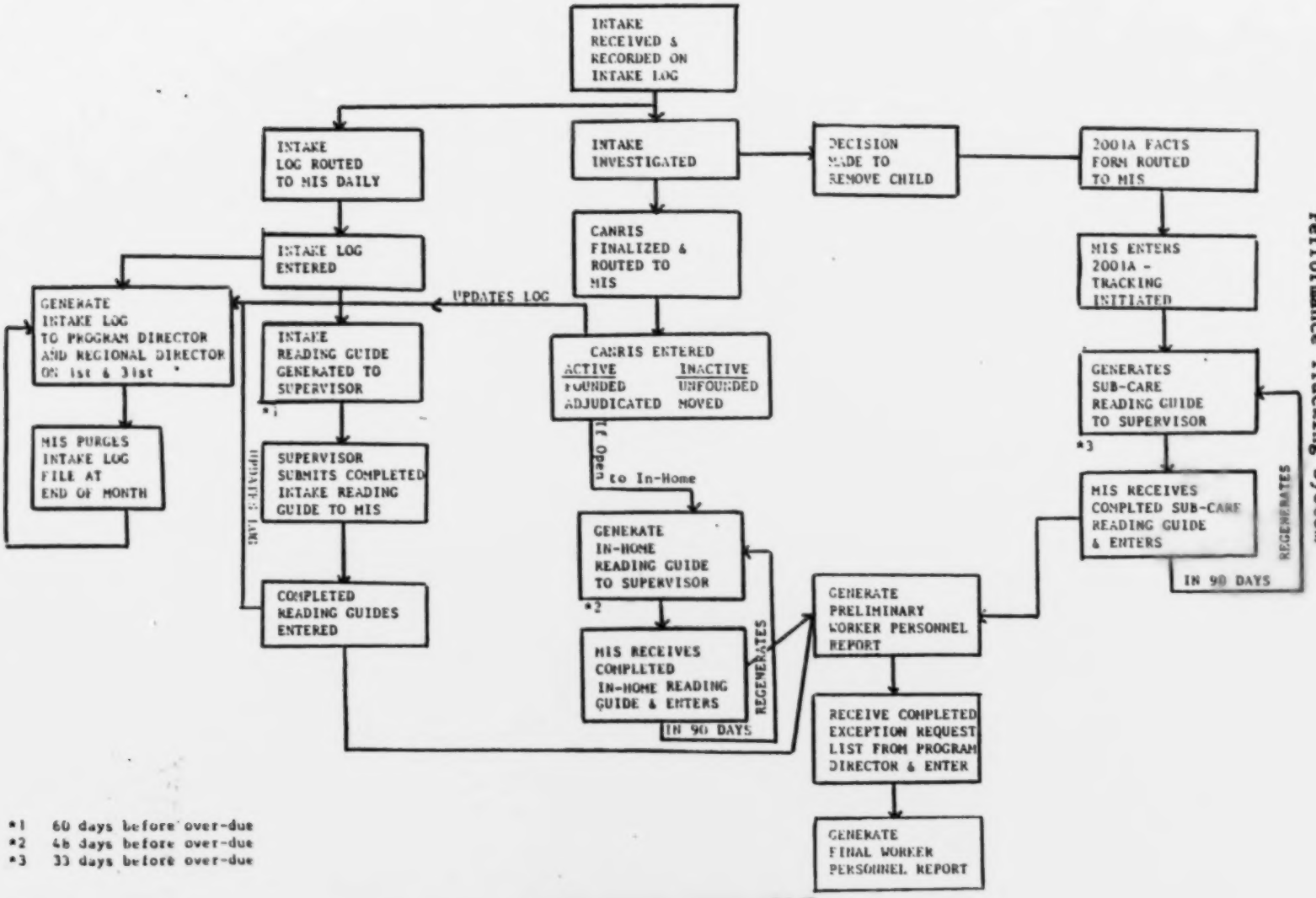
AUTOMATED PERFORMANCE TRACKING
AND PRODUCTIVITY IMPROVEMENT
FLOW CHART


INTAKE RECEIVED & RECORDED ON INTAKE LOG
INTAKE LOG ROUTED TO MIS DAILY
INTAKE INVESTIGATED
DECISION MADE TO REMOVE CHILD
2001A FACTS FORM ROUTED TO MIS
INTAKE LOG ENTERED
CANRIS FINALIZED & ROUTED TO MIS
MIS ENTERS 2001A - TRACKING INITIATED
UPDATES LOG
GENERATE INTAKE LOG TO PROGRAM DIRECTOR AND REGIONAL DIRECTOR ON 1st & 31st *
INTAKE READING GUIDE GENERATED TO SUPERVISOR
CANRIS ENTERED
ACTIVE INACTIVE
FOUNDED UNFOUNDED
ADJUDICATED MOVED
GENERATES SUB-CARE READING GUIDE TO SUPERVISOR
*3
*1
If Open to In-Home
MIS PURGES INTAKE LOG FILE AT END OF MONTH
SUPERVISOR SUBMITS COMPLETED INTAKE READING GUIDE TO MIS
GENERATE IN-HOME READING GUIDE TO SUPERVISOR
*2
MIS RECEIVES COMPLTED SUB-CARE READING GUIDE & ENTERS
REGENERATES
IN 90 DAYS
COMPLETED READING GUIDES ENTERED
MIS RECEIVES COMPLETED IN-HOME READING GUIDE & ENTERS
REGENERATES
IN 90 DAYS
GENERATE PRELIMINARY WORKER PERSONNEL REPORT
RECEIVE COMPLETED EXCEPTION REQUEST LIST FROM PROGRAM DIRECTOR & ENTER
GENERATE FINAL WORKER PERSONNEL REPORT

*1 60 days before over-due
*2 46 days before over-due
*3 33 days before over-due

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BPR600

Worker's Performance Report - Preliminary
Reflecting 07/01/85-07/31/85

To Caseworker
Supervisor

Worker Name KAY JONES
EIN D597

Case Name Case Number	Type Case	Compliance (Yes/No-Detail)	Performance Indicators	Supv. Rating	Do You Request a Compliance Exception (Y or N)	Why?
[redacted], GLORIA C60283901	Intake-Prio 1	Yes	Each standard is in compliance	4		
[redacted], DONALD C60284401	Intake-Prio 2 (NSA)	Yes	Each standard is in compliance	4		
[redacted], PATSY C60284701	Intake-Prio 2 (NSA)	Yes	Each standard is in compliance	4		
[redacted], ELLA 22154[redacted],000,001	Ongoing	No:		2		
		7A5 Fam POS - Solutions/objectives not identified (SSHB 3310)	B - Interviewing E - P.O.S. Develop. F - Narr/Forms		7A5 - Y	3
		B2 Fam POS not signed by supervisor (SSHB 3310)	E - P.O.S. Develop. F - Narr/Forms H - Uses Supervision		B2 - N	
[redacted], PEGGY 500136[redacted],000,001	Ongoing	No:		3		
		7A2 Fam POS - Joint Development Non-compliance (SSHB 3310)	B - Interviewing E - P.O.S. Develop. F - Narr/Forms		7A2 - Y	8*
		7A3 Fam POS - No copy to parents/ caretaker (SSHB 3310)	B - Interviewing E - P.O.S. Develop. F - Narr/Forms		7A3 - Y	8*
[redacted], LEE 5024[redacted],000,001	CVS-Subcare	No:		3		
		12a) Fam POS not completed in 30 days (SSHB 6522)	C - Child Placement E - P.O.S. Develop. F - Narr/Forms H - Uses Supervision		12A - Y	3
		12l) Fam POS Not signed by parents (SSHB 6522)	C - Child Placement E - P.O.S. Develop. F - Narr/Forms H - Uses Supervision		12L - Y	8*
[redacted], LORIA 5012[redacted],000,001	CVS-Subcare	No:		3		
		12a) Fam POS not completed in 30 days (SSHB 6522)	C - Child Placement E - P.O.S. Develop. F - Narr/Forms H - Uses Supervision		12A - Y	3

* Parent non-cooperation

APPENDIX D

Sample of Computer-Generated Output Reports

D-1

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BPR600

Worker's Performance Report - Preliminary
Reflecting 07/01/85-07/31/85

To Caseworker
Supervisor

Worker Name KAY JONES
EIN 0597

For P.D. only: List Compliance Exceptions and Code Reason if Granted.
Submit to MIS by 10th of month

Case Name/Number/RGO	Standard/Requirement	Granted Y/N	If Granted, Reason
Ella [redacted] 22157[redacted],001	7A5	N	
Peggy [redacted] 50038[redacted],001	7A2	Y	8*
	7A3	Y	8*
Lee [redacted] 50240[redacted],001	12a	Y	3
	12l	Y	8*
Loria [redacted] 50125[redacted],001	12a	Y	3

Codes:
1 - Illness
2 - Unit Vacancies
3 - Excessive Time-Consuming Case(s)
4 - Authorized Leave
Caseload Mix Problem
5A- Intake Overload
5B- Ongoing Overload
5C- Subcare Overload
6 - Unusual Court Requirements
7 - Data Error
8 - Other_____

* Parent non-cooperation

D-2

P.D. Signature _____ Date _____

39

40

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